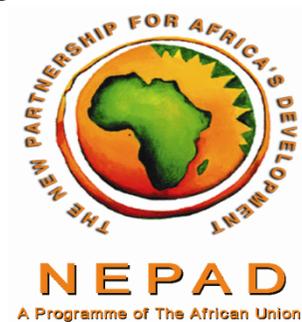


AU-NEPAD CAPACITY DEVELOPMENT



The AU/NEPAD Capacity Development Strategic Framework (CDSF)

Seeing African People as the true Resource

FOREWORD

The New Partnership for Africa's Development (NEPAD) is a pledge by African leaders based on a common vision and firm conviction that Africans have the responsibility, individually and collectively, for extricating the continent from the malaise of poverty. NEPAD places high priority on harnessing African resources, including its human capital, as well as partnerships amongst Africans, the global community, guided by a committed, innovative and decisive leadership, in order to achieve the NEPAD objectives.

NEPAD recognizes the centrality of capacity development, with a view to empowering Africans to embark on the set development agenda, and for them to fulfill their creative potential. Much of Africa's inability to implement programmes with far reaching impact stem from systemic weaknesses at the levels of the state, the region, and the continent, as well as at the institutional and individual level. The inter-relationship amongst these levels of governance has created vicious cycles in which poverty, limited capacity, and bad governance are mutually supportive. The resultant effect of this has been the further marginalization of the continent. There is also a realization that previous efforts and approaches to capacity building have not delivered the desired results and that capacity constraints still remain one of the major obstacles to development and specifically to the achievement of AU Vision and NEPAD Priorities. Overall, implementing capacities still remained a challenge.

This Strategic Framework is a result of a large participatory and team effort, both in conceptualizing the content, and drafting it over a period of three years, which involved RECs, civil society, private sector and the academia. Consultations were also held with Ministers of Public/Civil Service; countries that had completed their APRM reviews, countries that participated in the national processes for NEPAD implementation, as well as strategic partners.

As a guiding framework for capacity development, the framework offers methodologies and tools for identifying and addressing fundamental systemic and individual capacity challenges. The Framework calls for a necessary paradigm shift in approaching capacity development. It emphasizes the need to capitalize on African resourcefulness, and solution and impact based innovation. The Framework is built on six (6) strategic cornerstones namely:

- Leadership Transformation;
- Citizen Transformation;
- Utilizing African Potentials,
- Skills and Resources for Development;
- Capacity of Capacity Builders;
- Integrated Approaches and Continuous Improvement Processes; and
- Knowledge-based and innovation-driven processes.

The Framework is adaptable to many situations and contexts. It is also a living document, which will be updated on the basis of experiences and lessons learnt from its initial implementation. Further, the Framework creates opportunities for individuals, institutions, countries, and regions to partner in an innovative way to address specific development challenges. Finally, it builds on many previous and ongoing efforts on capacity development in Africa, and globally. Stakeholders are being called upon to support NEPAD in the implementation of the Framework, and to adapt its cornerstones in the implementation of their programmes.

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Introduction

1 Why Another Initiative on Capacity Development?

After decades of social, political and economic turmoil, the African continent is experiencing its most flourishing period characterised by a drastic reduction in violent conflicts, highest levels of economic growth and lowest inflation in 30 years. Current projection also point to excellent growth prospects over the foreseeable future. However, Africa's ability to maintain and sustain these positive developments is being threatened by a dearth of capacity at all levels.. Specifically, these constraints relate to the effectiveness of leadership and management techniques/practices; administrative and delivery mechanisms; procedures and practices; information and communication systems; skills and knowledge gaps; sub-optimal allocation and utilization of resources (human, financial and material); and, the absence of a culture of mutual accountability and responsibility. This in turn has affected the levels of professionalism, and consequently led to low motivation, entrenched self-serving interests and poor commitment to achieving results and/or to manage its impact.

Recognizing the above, in 2006 NEPAD embarked on a continent wide consultation process on capacity. These consultations were held at the level of ministers, experts and practitioners. Targeted interventions were also undertaken at country level, involving Ghana, Kenya, Rwanda and Uganda. The main purpose was to facilitate dialogue within Africa and to set in motion a process that would lead to the conceptualization, adoption and implementation of a capacity development strategy that takes into account Africa's unique needs, priorities, challenges and context. The effort led to the development of a NEPAD Capacity Development Initiative (CDI), which took on the challenge of conceptualizing and developing a Capacity Development Strategic Framework (CDSF) to guide capacity development in Africa. At the heart of the CDI is the need to promote the adoption of the CDSF, as a common framework in all capacity development interventions in Africa. Hence, the CDI is aimed at mobilizing African countries and institutions to apply the instruments, methodologies and practices advocated by the strategic framework. Essentially, the CDSF is an instrument to assist countries and institutions to:

- deeply analyse the fundamental capacity challenges confronting them;
- promote the adoption of innovative, appropriate and effective solutions to capacity development that take into account local needs, priorities and context; and
- encourage the application of integrated, comprehensive and sustainable solutions.

The rationale for the CDSF is underpinned on three major trends and factors which are crucial for sustained success in capacity development:

- Firstly, looking at the deeply systemic capacity constraints, the continued application of short-term, quick fix and fragmented capacity building/development interventions is inadequate and incapable of addressing Africa's real capacity challenges in a sustainable manner as it requires a strategic and longer term perspective focused on organisational systems capacities rather than on individuals or hardware alone.

- Secondly, the fulfilment of the vision of African renewal espoused in NEPAD framework requires a fundamental transformation, re-orientation, re-alignment and strengthening of the African institutional framework to enable both the public and private spheres to respond effectively to the new demands and expectations arising from Africa's problems and also new opportunities due to a globalised world.
- Thirdly, Africa is pursuing its development agenda in a challenging, complex and ever changing environment. Therefore, the challenges and opportunities generated by such an environment impose additional pressures on Africa's already fragile institutions. The application of the CDSF seeks to enable countries and institutions to confidently identify and apply comprehensive solutions to these challenges.

This transformative approach to capacity development requires different responses to capacity challenges from those that were used in the past. This approach focuses on transformation, change of mindsets, long-term investments rather than short-term harvesting, sacrifice of the individual rather than handouts and free training, and a clear agenda in terms of where the continent is going – which the AU Vision and Nepad provide to a large extent.

1.1 What we mean by 'capacity'

Capacity Development or as it has been formerly known Capacity Building has changed throughout the past decades but is still very much determined by a somewhat limited approach and traditional understanding of building up capacity through training measures for individuals, provision of material and financial support as well as organizational restructuring. This narrow interpretation of capacity is still prevalent across the continent and is still a key determinant of the solutions prescribed whenever states and/or institutions are confronted with capacity challenges.

The concept of Capacity Development as advocated by the AU-Nepad Capacity Development Initiative (CDI) is a call for a wider and deeper analysis of capacity needs, based on a broader understanding of the actual deficiencies and how best they can be addressed by innovative and transformative processes. Hence the term Capacity entails the ability of people, organizations and societies, to recognize development challenges, and to prepare and commit themselves for the development of effective strategic solutions and for their successful implementation. In this context capacity is also understood to encompass an analysis of the system as a whole as a basis for the development of appropriate, effective, efficient and sustainable solutions. In this regard, the CDI with its strategic framework (CDSF) defines capacity as

“a process of enabling individuals, groups organizations, institutions and societies to sustainably define, articulate, engage and actualize their vision or developmental goals building on their own resources in the context of new Afro-centricity paradigm.”¹

NEPAD facilitated a consultation process to develop the capacity development strategic framework since November 2006 with more than 300 stakeholders at Pan-African and country level which brought out this broader concept of capacity. It interprets capacity as encompassing issues related to the sense of ownership, the notion and style of leadership, mindset and

¹ Definition adopted by participants of the first CDI workshop / Johannesburg, Nov. 2006

attitudinal aspects as well as internal and external organizational dynamics and context. Essentially, the consultation process affirmed that to be effective and sustainable, capacity initiatives must deal with the performance of the entire system as a whole. In other words, in attempting to understand or address the capacity challenges confronted by a country and/or an organization, capacity development interventions need to analyse and address the systemic blockages of the whole organisation/unit etc, rather than confine its analysis or solutions to selected component parts. In essence, the consultation process identified two types of capacity, namely tangible (more evident) capacities and intangible (less evident) capacities. Both the ‘more evident’ and ‘less evident’ capacities are important for performance/impact, hence the need to address the apparent weaknesses concerning “soft skills” or the less visible capacity elements. It is also worth noting that as organizations become high-performing some of the less evident elements actually become very tangible. Below is a table that distinguishes between the “evident and “less evident” capacity elements:

Table 1: Two Types of Capacity

More evident Capacity Elements	Less evident Capacity Elements
<p>Institutional and structural capacity-including organizational structures, hierarchies, mandates, procedures, rules and regulations etc;</p> <p>Financial and material capacity;</p> <p>Human resources capacity-number of employees and skills levels;</p> <p>Capacity to develop policy and other related instruments;</p> <p>Capacity to monitor and evaluate output.</p>	<p>Capacity to provide visionary and strategic leadership;</p> <p>Capacity to learn, focus and strategise;</p> <p>Capacity to harness and effectively utilize existing capabilities;</p> <p>Capacity to retain, hire and effectively utilize competent and productive personnel;</p> <p>Capacity to utilize underutilized potentials within an organization;</p> <p>Capacity to predict, adapt and respond to the volatile and ever-changing environment;</p> <p>Capacity to harness creativity and innovation;</p> <p>Capacity to provide space for staff by the managers and the capacity to utilise the space by staff (emancipation);</p> <p>Capacity to motivate and inspire personnel;</p> <p>Capacity to instil a greater sense of ownership among personnel to achieve set organizational goals;</p> <p>Capacity to ensure mutual accountability and responsibility;</p> <p>Capacity to communicate effectively with internal and external audiences;</p> <p>Capacity to learn and apply lessons learnt to improve performance for effective service delivery;</p> <p>Capacity to monitor and evaluate impact;</p> <p>Capacity to apply lessons learnt, adjust and take corrective measures.</p>

Most of the capacity building/development interventions in the past decades focused mainly on the more evident elements, leaving the less evident elements more or less impervious to conventional capacity building/development, although they are often seen as the ‘real issues’ why things do not work optimally. This omission of the less evident ‘systemic capacity’ increases the prospects of failure because it does not take into account the interactions and relationships between the various component parts with potentially detrimental consequences for organizational functioning. Therefore, the CDI is premised on the understanding that an unbalanced bias towards either one of the two compels an organization to be reactive rather than pro-active.

1.2 What this initiative seeks to achieve?

The NEPAD Capacity Development Initiative aims to achieve broad support from the political leadership and on that basis to encourage countries and regional economic communities to embark on transformation processes leading to improved efficiency and effectiveness in the implementation of development goals through mobilization of untapped potential, motivation for changes in attitude and performance excellence.

First and foremost, the CDI seeks to promote the adoption and application of comprehensive and integrated strategies for capacity development at continental, regional and national levels. The main aim is to enable African countries and institutions to harness and optimize existing capabilities to achieve agreed development goals. To this extent, the initiative asks some critical questions such as:

- What capacities do we need, and for what?
- Do we know what capacities we have and where are they located?
- Are we making effective use of our existing capabilities and if not, why not?
- How can we pool and build upon existing capacities at continental, regional and national levels?
- What are our real capacity challenges and how do we address them in a comprehensive and integrated fashion?

Secondly, the CDI also provides a different level of analysis to ongoing capacity development efforts. The overarching objective of the CDI is to enhance performance, within the public and private sector as well as across society, by harnessing existing capabilities at an individual and institutional level, ensuring an accountable and responsive public service as well as forging true partnerships through experience sharing and skills transfer. Specifically, the CDI seeks to:

- Promote the adoption of a comprehensive and integrated approach to capacity development that takes into account the totality of organizational dynamics and its functioning;
- Enhance and expand the quality of leadership to ensure that every individual and/or institution assumes responsibility for their role in ensuring the attainment of set development goals;

- Promote the creation of an enabling environment and organisational processes and systems aimed at unlocking the resourcefulness and creativity of Africans at an individual and institutional level and collective level
- Foster a culture that induces the spirit of responsibility, mutual accountability and unwavering commitment to performance excellence across the public sector, private sector and civil society;
- Build networks and constituencies of expertise within and beyond Africa for experience sharing and ongoing mutual learning;

1.3 CDI's core values and principles

The transformational character of Africa's development agenda in general and the successful implementation of this initiative, in particular, require strong political will and total commitment to Africa's transformation agenda. The principle of ownership is an imperative that must neither be compromised nor be determined by external parties or by short term capacity building/development programs designed by development partners. Hence the responsibility for any country strategy or approaches aiming at improved capacity and for the related change processes solely lies with the countries.

In addition, reform initiatives related to Capacity Development need to be considered as complex and challenging. Thus the dynamic character of the environment must be factored in at all times and provision must be made for changes and improvements. They need to be continuously further informed and developed on the basis of experiences gained from their actual application.

In terms of operationalising the CDI, the following key values underpin the capacity development efforts:

- **Commitment to efficient and effective service delivery:** The CDI is primarily about improving service delivery of public, private and other actors. Excellent service delivery requires a commitment of individuals and organisations to efficiency and effectiveness and to clients, which is stronger than loyalty to political parties and networks. A core value is therefore the de-politicisation of service delivery through separation of political / party structures and technical service delivery.
- **Putting performance above mandates and equity:** The core of sustainable capacity is built on the primacy and recognition of performance, pro-activeness and entrepreneurship. Performance and excellence needs to be outweighing rigid organisational mandates limiting effectiveness or equity considerations pulling the high performers back. This culture and strive for performance is an attitude which is a core characteristic of successful systems and thus is a pre-requisite for success
- **Cultivating potential - recognition of African people as the true resource:** the most fundamental value in capacity development is the belief and trust in people and their capacity to manage and develop themselves and contribute to society, independent of their origin, class and present status.

- **Giving everybody a chance - equal opportunity:** Equal opportunity at all times and at all levels is the foundation for capacity development and to utilising human potentials effectively.
- **Developing together - inclusiveness:** Inclusiveness is major pillar of sustainability. Inclusiveness does not only mean that everyone is involved, but the provision of space and recognition for the high performers while managing effective learning between the progressive people and the others in communities
- **Accepting diversity and different needs:** Capacity development efforts need to apply a differentiated perspective to building inclusiveness and equal opportunity, particularly in respect of gender and youth.

2 A Strategic Framework for Capacity Development in Africa: Six Cornerstones to Make Capacity Work

The main instrument to operationalise the capacity development initiative is the Capacity Development Strategic Framework (CDSF). It departs from the notion that capacity development is a central strategy to transform the performance of African systems of service delivery and economic / social development. The performance of service delivery systems do not only depend on state institutions, but equally on the capacity of the citizens to articulate their demands and engage in actualizing their own vision with their own resources and ideas. Citizens have a major role in making state services effective and accountable and together with the state reach the developmental goals. Therefore, the capacity development framework addresses individuals, groups, institutions and societies and in particular the interfaces between these levels.

The CDSF sees capacity development as a process of performance enhancement driven by results and impacts to be achieved, rather than an input-based capacity development of individuals. Enhancing performance in that sense is closely related to behavioural changes and the intangible/less evident, 'soft' aspects of capacity. In other words, no matter how well-trained and qualified football players are, they will only perform if the right players are in the right place, if the team has the spirit, attitude and determination of winning together, the leadership which believes in the players and in winning as a team and fosters the players' growth, the culture of working together, the support from the fans who believe in them etc. The team and the fans/supporters are interdependent in a similar way as the state and citizens in service delivery and development. The factors which make the system work as a system are the central thrusts of the CDSF.

In the consultation processes at continental and country levels which led to the strategic framework for capacity development in Africa, these less evident aspects of capacity development emerged as the dominant factors to enhance performance and development in Africa. The need for a change of mindset by Africans, overcoming Afro-pessimism, particularly by Africans; and developing a new culture of work that is responsive to societal demands and is result / impact driven are central elements of CDSF.

The core of the vision of CDSF is to optimise and harness African resourcefulness for achieving set development objectives. When put into action through strategic interventions, the framework aims to enhance the ability of the state to harness and effectively utilize existing capabilities to achieve stated development goals and build the required systemic capacities to perform. It highlights the central role of the public sector as the driver within a multi-actor system where the active participation and engagement of all stakeholders is required to achieve results.

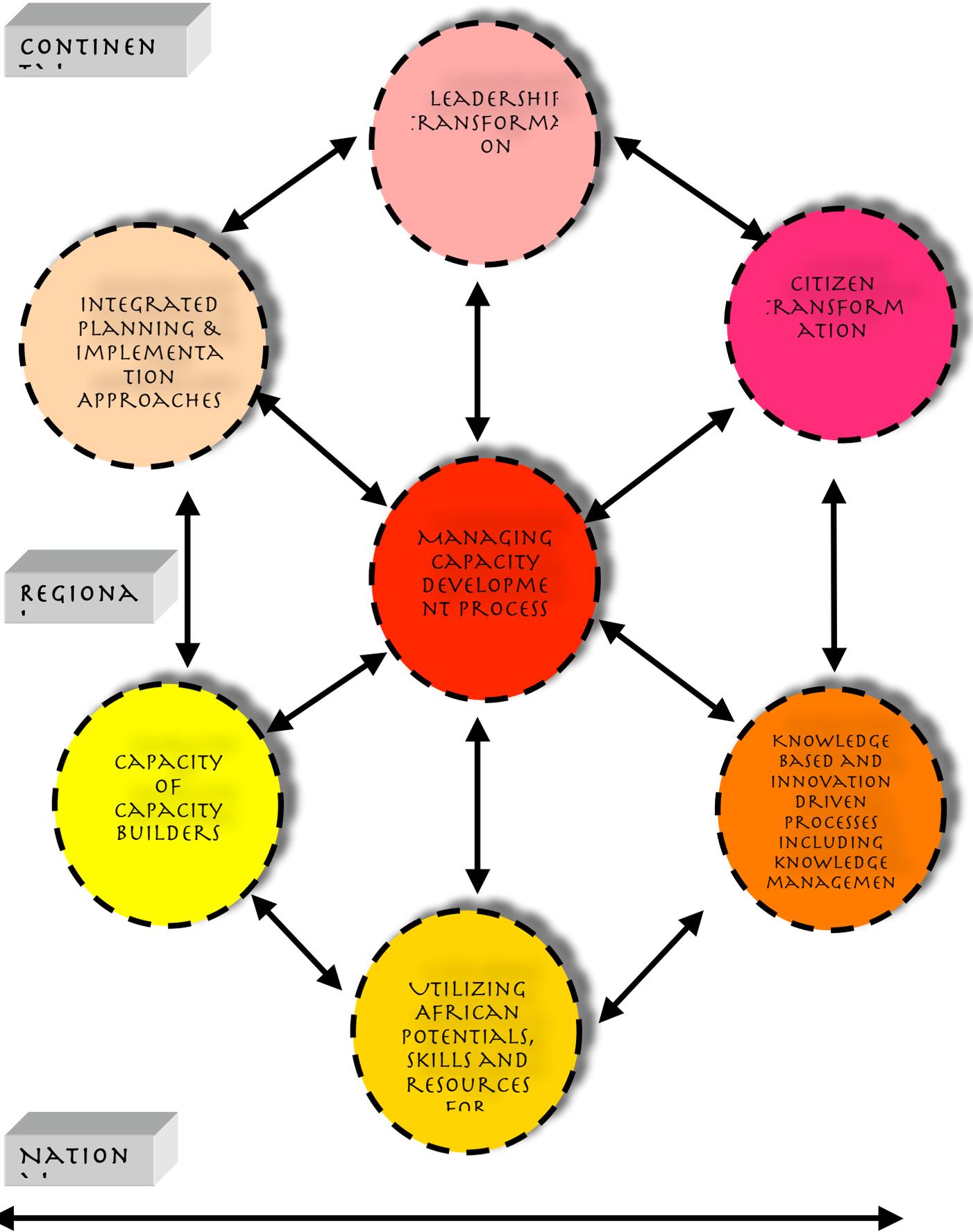
The framework consists of six cornerstones which need to be in place for sustainable capacity development in Africa. These cornerstones emerged in a series of consultations in 2006 and 2007. The consultation process set off with a high-level meeting to assess the real capacity issues, then was further developed together with strategic partners at pan-African level and country level and was validated with country processes. In total more than 300 participants were involved and brought out these cornerstones as the most critical success factors for a sustainable African capacity.

2.1 Overview of the cornerstones of the framework

The CDSF consists of 6 cornerstones identified in the NEPAD consultation process as the most critical success factors for capacity development in Africa. Each cornerstone entails a range of components which need to be considered when addressing the cornerstone. The six cornerstones act like a checklist to help think through the dimensions of capacity development. It is essential to note that the six cornerstones are all linked, as whatever success or weakness is experienced with one of them has an effect on all others. Therefore, while they are treated here separately for analytical purposes, their dynamic nature is illustrated through the porous boundaries and flows as depicted in figure 1, below.

The following diagram presents the cornerstones and the text below describes them more in order to get a broad overview. In the main text they will be fully explained in all their dimensions.

Fig 1: Cornerstones of the Capacity Development Strategic Framework (CDSF)



Cornerstone 1: LEADERSHIP TRANSFORMATION: Leaders and managers at all levels (junior to senior, local to national), who are committed to collective transformation and to performance while fostering growth and development of African human potentials. **Key components are:**

1. An enhanced commitment and accountability of African leadership to results.
2. Inclusive and consultative leadership which seeks for solutions from within, rather than relying on external resources.
3. Leadership that recognises people as a resource and which provides and fosters ‘space’ for African citizens, staff and institutions at all levels to grow.
4. Leadership which is dynamic and strategic and fosters the capacity to strategise and organize for achieving results.
5. Leadership which is entrepreneurial and encourages entrepreneurial behaviour in all spheres of society.
6. A feedback culture and continuous improvement processes as integral parts of leadership and management.

Cornerstone 2: CITIZEN TRANSFORMATION: Citizens who are informed and organized to foster and claim accountability and quality services, and responsibly take charge of their own development without waiting for government. **Key components are:**

1. The sense of ownership of development processes by the citizens.
2. Self-responsibility and self-organisation for action.
3. Information level and analytical/strategic thinking of citizens to be able to de-politicise issues.
4. Articulation of demand for quality services and claiming accountability of service providers and government.
5. Ability to claim accountability from leaders and managers by citizens and employees.

Cornerstone 3: KNOWLEDGE-BASED AND INNOVATION-DRIVEN DECISION AND DEVELOPMENT PROCESSES: Knowledge based and innovation-driven processes that enhance fact and evidence-based decision making and encourage increased investments in knowledge and scientific institutions and science and technology. **Key components are:**

1. Access to appropriate knowledge and information to support Africa’s development challenges.
2. Effective management and communication of knowledge appropriate for Africa’s development.

3. Innovation as a driver for transformation and enhancement of productivity of people and organisations and the economy.
4. Transformation of knowledge and scientific institutions to make them robust, relevant and provide solutions to African development challenges.
5. Continuous learning processes and feedback loops as base for effective knowledge driven processes.

Cornerstone 4: UTILIZING AFRICAN POTENTIALS, SKILLS AND RESOURCES FOR DEVELOPMENT: Mobilising African financial and human resources for development and transformation - locally, continentally, and globally. **Key components are:**

1. Mobilization of own resources by countries.
2. Conducive investment climate for citizens to invest in Africa.
3. Effective and efficient utilisation of financial resources by reducing inefficiencies and duplication of efforts
4. Incentives, reward and management systems which effectively utilise African potentials, retain African brains and attract capacity.
5. Concerted effort and targeted planning for technical capacity development and human resource development.
6. Special efforts to identify, harness and utilise existing capabilities, including underutilised potentials and closing the youth and gender gap at all levels.
7. A system of sharing capacities at national, regional and continental level and learning from each other.

Cornerstone 5: CAPACITY OF CAPACITY BUILDERS: Adaptive Capacity development institutions driving a progressive agenda for capacity development and producing entrepreneurial client-oriented cadres. **Key components are:**

1. Alignment of capacity development/qualification programmes to new realities and African transformation needs.
2. Alignment and strengthening of the capacity of those tasked with developing the capacity of others.
3. Organisational reforms and collective action of capacity building institutions to reach a scale which can provide the required specialist knowledge in training and teaching.
4. Performance-enhancing learning approaches as basic way of operating by capacity development institutions.
5. Strong focus on managerial skills/soft skills which are essential in the context of the new African agenda.

6. Networks of communities of experts and practitioners to facilitate exposure, experience sharing, lesson learning and peer support.
7. Technical assistance which develops and strengthens existing capacity rather than substituting it.

Cornerstone 6: INTEGRATED PLANNING AND IMPLEMENTATION APPROACHES AND CONTINUOUS IMPROVEMENT PROCESSES: Integrated and coordinated approaches for planning and implementation of development processes within and across levels aligned to key sustainability principles. **Key components are:**

1. Integration and coordination through a systemic approach addressing ‘system failure’ and systemic blockages in making a real difference.
2. Coordinated and integrated planning of ministries across sectoral boundaries.
3. A system of accountability for results/impacts driving integration.
4. Continuous monitoring and assessment of performance and impact of development institutions vis-à-vis the ‘system failure’ and the stated achievements.
5. Intensive feedback and communication between the vertical and horizontal levels.
6. Resource allocation and performance systems which foster integration and interdependency.
7. Commitment by actors who set up development organisations, to follow through and ensure that they are working successfully.

2.2 The strategic functions of this framework within the CDI

The CDSF is the fundamental instrument to operationalise the CDI. As a framework, its main functions in capacity development processes are: **a diagnostic instrument** for assessing the capacity issues and identifying gaps and synergies for future intervention design;

- ***an instrument for developing strategies and designing new programmes and projects.*** The CDSF should be used to analyse the current situation with participating stakeholders, to identify appropriate partners and to prioritise core activities. The main areas of project intervention are defined on the basis of the joint analysis. Key functions and related possible partners are identified in an inclusive and rigorous process in which partners can benefit from synergies;
- ***an instrument for monitoring and evaluating on-going programmes and projects.*** Implementation teams can use the framework to reflect on their intervention and analyse the state of the art for each of the cornerstones. This helps them to reach a common perspective on where they are, what they consider successful, and what the knowledge and design gaps are in their intervention. An iterative self-reflection (e.g., every half year or annually) with

the whole team and some stakeholders can be a powerful way of steering an intervention, and learning systematically together;

- ***a knowledge management instrument.*** The lessons, experiences and methodologies or instruments used to enhance each of these cornerstones can be collected, synthesised across programmes, and fed back into the framework in a rigorous and systematic way, enhancing learning in institutions and networks;
- ***an instrument to create a common understanding and vision*** among a diverse range of stakeholders and partners involved in capacity development. The joint perspective of the stakeholders may be a precondition for successful changes.

In the following section each cornerstone and its components will be described in detail and the utilisation of the framework as a ‘checklist’ will be illustrated.

2.3 Cornerstone 1: LEADERSHIP TRANSFORMATION:

Leaders and managers at all levels (junior to senior, local to national), who are committed to collective transformation and to performance while fostering growth and development of African human potentials

Why is this cornerstone important?

The quest for good leadership is prevalent in all spheres of society and institutions in Africa. However, ‘leadership’ is always seen as something which starts from the next level above the people who are requesting for it. It is a vague concept, often used to excuse one’s own non-performance and to delegate the responsibility upwards, particularly in the public service.

There is a need to fundamentally broaden the concept of leadership beyond the current “political” confines, and embrace community, local, national, regional, and continental citizens and non-political collectives that make sacrifices on a daily basis to serve their communities. There are many African citizens that, on a daily basis, innovate new ways of advancing their institutions in all areas, including the private sector, civil society, and local communities, whose efforts either go unrecognized, or unrewarded and not encouraged. These citizens need to be recognized as leaders. They need to be strengthened to do better, and for their successful efforts to be replicated in other communities and sectors.

What are we aiming at?

In an ideal situation, leadership and responsibility for success and performance would become a broad based driver for transformation within all citizens in leadership positions, not only political leaders. Interventions in this cornerstone aim at fostering:

1. **An enhanced commitment and accountability of African leadership to results** within the African development agenda and to their people. Leaders at all levels should become the drivers of change who put the collective development agenda and performance above their political interests. This type of accountable leadership would apply a rigorous mode to get the right people in the right jobs to achieve results rather than supporting their political and social networks at the cost of performance.

2. **Inclusive and consultative leadership which seeks for solutions from within, rather than relying on external resources.** Such leadership would be moving from the prevailing ‘culture of hierarchical dominance’ towards a culture which is able to harness, mobilize and inspire the collective energy, resources and untapped potentials of all Africans at all levels.
3. **Leadership that recognises people as a resource and which provides and fosters ‘space’ for African citizens, staff and institutions at all levels to grow** and to own their problems and accept the mutual responsibility to finding innovative solutions to address them in a mutually accountable way. Leadership has a major role to develop and use peoples potential effectively, challenge them to grow and trust in their capabilities as a base for performance of everyone. Such leadership ‘graduates’ and enjoys cultivating young people and retires rather than clings to their positions. It is leadership by example.
4. **Leadership which is strategic and fosters the capacity to strategise and organize for achieving results.** If performance and results are the accepted drivers, the real institutional and systemic issues that act as barriers or slow the pace of implementation need to be understood, accepted and realistic strategies to address them must be developed and implemented at all levels. The focus needs to be on the ‘HOW’ rather than simply articulating unrealistic goals, visions and plans, de-linked from available capacity and resources. Leaders at all levels need to challenge staff and citizens and so foster the capacity to strategise and think about solutions and take action rather than have them waiting for instructions.
5. **Leadership which is entrepreneurial and encourages entrepreneurial behaviour in all spheres of society.** In many spheres of African societies, particularly in the public sector, pro-active, creative and innovative behaviour is rather discouraged than being rewarded. Linked to the ‘space’ mentioned above, leadership should play a major role in encouraging people to champion and implement new ideas as well as initiatives which are politically sanctioned. Leaders need to capture the signals of change, seek solutions for the future and break the ‘more of the same’ cycle. Leaders at all levels often underestimate the space they have to be pro-active and creative. The capacity of leaders to enlarge the space through performance and creativity in achieving results needs to be nurtured.
6. **A feedback culture and continuous improvement processes as integral part of leadership and management.** Self-assessment of performance and effectiveness in leadership as well as self-positioning in terms of capacity through seeking feedback are central elements of effective leadership. 360 degree feedback at all levels has been an effective way to learn and improve performance of leaders and managers. Ultimately a culture of feedback and continuous improvement for performance and results needs to be established and internalized for process enhancement. This needs to replace an often polarizing ‘either you are with me or against me’ culture. Leaders need to be able to differentiate emotionally between personal and professional critique as this is one of the key barriers to innovation and learning.

What are promising strategies and processes to bring about change?

Within the Capacity Development Initiative, we are continuously searching for strategies and cases where change was happening – one of the objectives of the initiative. Presently, we can suggest some strategies to bring about positive change in the direction outlined above by re-

enforcing existing positive behaviour on one side and through mechanisms/triggers which put pressure on changing uncondusive behaviour.

- Public debates through campaigns on the ‘space’ and the nurturing of African potentials influenced by leadership.
- Development of a strong and clear development agenda where leaders are in the forefront, but which are grounded in and informed by the citizenry.
- Generally, creation of role models for positive leadership through media (including entertainment industry etc.) and exposure to positive examples of inclusive leadership by making cases public and reward them.
- Innovation competitions and awards for innovative and effective leadership at all levels.
- Linking performance of institutions with societal impacts and put in place systems to measure accountability.
- Introduction of accountability and feedback systems between different levels of leadership.
- Performance management systems which focus on the results of the whole system/unit rather than just individuals and the related leadership style.
- Reward systems for creative, pro-active and entrepreneurial behaviour from leaders and staff in public and private institutions as well as making these cases public and create new role models.
- Trainee programmes for future leaders.

2.4 Cornerstone 2: CITIZEN TRANSFORMATION

African citizens who are informed and organized to foster and claim accountability and quality services, and responsibly take charge of their own development without waiting for government

Why is this cornerstone important?

One of the greatest challenges to Africa’s transformation stems from the fact that the vision of the African Renaissance, as espoused in the AU vision and NEPAD objectives, is very little known, or understood by a vast majority of Africans. Until Africans from all walks of life start living this vision, it will not be possible to make progress in transforming the continent. One of the most profound tenets of NEPAD is the declaration that:

Across the continent, Africans declare that we will no longer allow ourselves to be conditioned by circumstance... The leaders of the continent are aware of the fact that the true genius of a people is measured by its capacity for bold and imaginative thinking, and its determination in support of its own development²

The declaration places a challenge on African citizens to take the responsibility, first and foremost, for addressing the continent’s development challenges. However, in many countries the first decades of independence have created rather dependent citizens who do not feel empowered and emancipated to take such an active role. The transformation of citizens thus has to focus on

² THE NEW PARTNERSHIP FOR AFRICA’S DEVELOPMENT, OCTOBER 2001

the mobilisation of African citizens to own and take responsibility for the transformation rather than expecting the leaders and governments to make it happen for them.

What are we aiming at?

In an ideal situation, African citizens (this includes all spheres and levels of society, public sector employees, private sector, knowledge organizations, civil society, community-based organizations and their members etc.) would understand their role as the main movers and shakers of their development and transformation, and be organized in a way that they can foster their own development while strengthening and supporting the state institutions in a responsible and accountable way. Interventions in this cornerstone aim at fostering:

1. **The sense of ownership of development processes by the citizens.** A culture of responsibility among all key actors and stakeholders for their own development and for the performance of institutions needs to be nurtured so that citizens actively take charge and participate in political and economic processes.
2. **Self-responsibility and self-organisation for action** which can be done without any involvement of government, instead of waiting for services and decisions. This applies particularly for communities who often miss great opportunities because they expect government to deliver services which they could do on their own in a more timely and efficient way. It equally applies to employees who should be able to use their space and make decisions and take responsible action on issues which will improve their own and their institutions performance.
3. **Information level and analytical/strategic thinking of citizens to be able to de-politicise issues.** Responsible citizens ensure that they have access to available information. They have an information-seeking culture rather than using their lack of information as a blame for others of not having informed them. Analytical and strategic thinking need to be strengthened as they would result in a more differentiated and fact-based view and see their responsibility rather than political division and blame.
4. **Articulation of demand for quality services and claiming accountability of service providers and government.** To enhance service delivery, the demand side is equally important than the supply side. Citizens need to be aware of what a quality service is and be able to articulate the demand in an organized and strategic way as well as pursuing an active complaint culture aiming at improving services. The ‘culture of silence’ needs to give way to a culture of pro-active claiming of rights, services and responsibility. This way accountability can be claimed from service providers and government around agreed results.
5. **Ability to claim accountability from leaders and managers by citizens and employees.** In the mode of hierarchical dominance, employees/subordinates feel much disempowered to hold their leaders accountable for their actions. In the end, the leader/manager is responsible for results and employees can conveniently excuse their own failure.. In a transformed setup we see employees and citizens taking charge of their own life and success and so be responsible for the success of the collective whole, which also includes then performance of the manager/leader. To avoid conflicts, employees and citizens need to be able to influence their leaders/managers in a way which holds them accountable. There are a range of

approaches available which can help to ‘manage your manager’ or ‘upwards management.’ Surely, this needs to be linked with leadership transformation.

What are promising strategies and processes to bring about change?

We mainly see awareness-raising through a range of methods as a central strategy for mobilizing citizens. Although not exhaustive, we intend to pursue the following strategies:

- Creating awareness of the vision for transformation in the broader public and in the institutions (including using media, schools/universities and a range of other communication channels). This needs to be enriched by showing examples of good services and standards as points of reference and as reference points to move beyond the ‘more of the same cycle.’
- Identification of key champions at different levels to drive the awareness as leading examples and role models (including gender and youth).
- Promoting a ‘culture of change’ at all levels (work, schools etc) with more active citizen and community engagement (e.g. school boards etc).
- Search, inventorize and strengthen existing cases and establish new cases which provide examples of the ‘HOW.’
- Creation of legislation which guarantees access to information.
- Promotion of a culture of carrying out citizen satisfaction surveys and linking the results to performance management. This includes the promotion of service charters and values which encourage citizens to demand quality services.
- Development of service models and criteria for accountability which ensure that the crucial service aspects are delivered well and without any political or other interference.

2.5 Cornerstone 3: KNOWLEDGE-BASED AND INNOVATION-DRIVEN DECISION AND DEVELOPMENT PROCESSES

Knowledge based and innovation-driven processes that enhance fact and evidence based decision making and encourage increased investments in knowledge and scientific institutions and science and technology

Why is this cornerstone important?

Decision making processes at various levels in many African institutions are often not informed by the latest facts, knowledge and analysis, but rather based on political and power considerations. This seriously hampers the effectiveness and performance of institutions and individuals. There are many reasons for this pattern, partly institutional and management related, partly due to ineffective systems of information generation and provision. Both issues require urgent attention.

In terms of information and innovation systems, there is a recognition that Africa needs to significantly increase investments in education and institutions of higher learning, research, science and technology, if it is to be a globally competitive continent. There is a need to ensure that these institutions are equipped with the right approaches and capacities if they are to generate knowledge that is relevant to resolving Africa's development challenges.

What are we aiming at?

In an ideal situation, African policy and decision making processes at all levels would be much more knowledge based. Knowledge, innovation and learning would be the key drivers for Africa's development. In more specific terms, interventions in this cornerstone aim at fostering:

1. **Access to appropriate knowledge and information to support Africa's development challenges.** Despite an improving connectivity in Africa and thus access to international knowledge sources, there are huge knowledge and information gaps. Most of the knowledge sources about African development are not in the hands of Africans and the outside world is better informed about Africa than Africans themselves. A range of knowledge sources exist in Africa, but often these are fragmented and inaccessible. The thrust of this cornerstone is to create and strengthen knowledge and information networks to reach an economy of scale for the 'intelligence' about trends and facts in Africa's development. In addition, the connectivity among players needs to be strengthened to ensure timely access to appropriate information
2. **Effective management and communication of knowledge appropriate for Africa's development.** The management of information and knowledge at all levels, be it through rigorous banking information in information bases or through nurturing knowledge by sharing experiences is a crucial element for success in problem solving and reducing inefficiencies/capacity enhancement. The knowledge system supporting learning including the related communication of such knowledge need to be developed and strengthened at institutional level. This also includes the ability of organizations/management to learn from their own employees with their ideas to solve problems and improve the performance and sharing of such knowledge.
3. **Innovation as a driver for transformation and enhancement of productivity of people, organisations and the economy.** A major factor for low performance and capacity, particularly of public sector organisations, are inefficiencies in the way of working and technology use. The business processes need to be analysed rigorously in view to inefficiencies, the duplication of efforts and also the potential which new technologies do have to make the processes more dynamic and efficient. Information technology as one major innovation offers huge potentials to renew administration/business processes and systems along with management innovations. This cornerstone also focuses on the development, use and contextualization of innovations in the African development context. Networks and systems for innovation need to be made effective and centers of innovation need to be strengthened. Increased efficiency has a cost and a benefit: on one side it results in more and better services, on the other hand it redundancies, which are an opportunity to re-think how better to use peoples potentials.
4. **Transformation of knowledge and scientific institutions to make them relevant and provide solutions to African development challenges.** Knowledge/scientific institutions in Africa need to better understand the context through analyzing and accepting reality and true

needs and work on appropriate solutions for that context while using the best of knowledge available. Often they are rather academic and oriented towards the solutions which better fit in contexts with different conditions. Communication in these organizations needs to focus on a non-scientific audience if relevance for problem solving is the goal, rather remain in academic publications. Pro-active communication strategies and the utilisation of the information need to be a success criteria rather than publication. Generally, an active promotion of self-initiative, entrepreneurship, creativity and innovation are major pillars for future knowledge and scientific institutions.

5. **Continuous learning processes and feedback loops as base for effective knowledge driven processes.** While qualifications through training and education are important, they are limited in their contribution to make work processes effective. Individuals and institutions need to be encouraged to engage in a continuous self-learning process, including peer learning, team based coaching and mentoring in order to improve performance continuously. Effective communication and feedback loops from below: constant checking of progress and adapting action are in contrast to a prevailing reporting upwards – where only good news make their way to the top and the top gets increasingly alienated from reality. M&E and feedback loops across and within all levels are central for learning and reducing the delays in the response of the system to issues which need to be improved. 360 degree feedback, fora/platforms for learning and sharing and the functioning knowledge management systems are central parts of a continuous improvement process for performance and results at all levels and for de-politicising the processes.

What are promising strategies and processes to bring about change?

- Strengthening of knowledge and information networks for sharing, joint programming and across the actors for better economies of scale and scope.
- Development of knowledge management systems within and across organisations.
- Re-thinking and renewal of administrative processes and systems for efficiency.
- Re-orientation of knowledge and scientific organisations towards more holistic and integrated approaches to science and technology including research and development.
- Development of a learning, sharing and feedback culture in African organisations.
- Re-thinking the interface between research/science and practice along the lines of integrated assessments in development thus institutionally reconfiguring the rules of engagement.

2.6 Cornerstone 4: UTILIZING AFRICAN POTENTIALS, SKILLS AND RESOURCES FOR DEVELOPMENT

Mobilising African financial and human resources for development and transformation - locally, continentally, and globally

Why is this cornerstone important?

Development funding in Africa is almost automatically linked to donor funding sources –either from the West or from China. There is little effort and imagination in tapping a much greater

share of African resources within and outside Africa although these financial resources, if invested in Africa, could become the major driver for Africa's development. A range of conditions in the domestic environment need to be conducive for this to happen, but also the effort for mobilization of these resources as well as the imagination that this is possible are major challenges.

On the human resource side, the brain drain out of Africa has benefited many countries outside Africa where competent Africans emigrated to. The question why these 'good brains' are leaving and what can be done to turn the 'brain drain' into a 'brain gain' are pertinent. At the same time, technical experts from all over the world are trying to assist Africa in its development, often with limited understanding of African systems. The question is how one can mobilize and organize a sharing of African human resources for Africa's development and a system of support which really builds African capacities and utilises them effectively.

What are we aiming at?

In an ideal situation, African countries would mobilize and efficiently use their peoples own financial resources to become less dependent on donor resources and pursue their own development agenda. In terms of human resources, African countries would create conditions which enable to stop the loss of and even manage to attract highly qualified Africans living outside the continent and utilise these capacities for their development. More specifically, this cornerstone aims at fostering the following aspects:

1. **Mobilization of own resources by countries:** a key for the capacity to pursue an African-owned development agenda are own financial resources to implement it. Many African countries have successfully increased their state revenues through domestic tax and customs which were effective and decreased their dependency on donor funding considerably (e.g. case of Kenya). Additionally, there is the possibility of using Africa's own private sector as a source of financial resources in development.
2. **Conducive investment climate for Africans to invest in Africa.** Investment opportunities in Africa are enormous, but in many countries citizens are not motivated to invest their own resources within their countries. Security of investment and the legal/policy environment need to be attractive to generate domestic investments and foreign investments from Africans in the Diaspora.
3. **Effective and efficient utilisation of financial resources by reducing inefficiencies and duplication of efforts:** Generation of revenue is one side, the effective and efficient use of it is the other side. The potential of savings through exploring inefficiencies, particularly in the public sector might be equally high but are rarely addressed. In development programmes, often expensive solutions are being favoured while low cost solutions in which the citizens take responsibility together with the state could be more effective and empowering. (e.g. case of passports in Botswana).
4. **Incentives, reward and management systems which effectively utilise African potentials, retain African brains and attract capacity.** Retaining as well as regaining talent and well-qualified human resources requires first and foremost management/organisational systems which acknowledge and reward delivery and intellect and provide opportunities for professional growth and career. While salary levels are always seen as the main reason for brain drain, the mostly hierarchical and stifling environment in many public service organisations do not provide the space to grow professionally and thus drive people away.

Managerial behaviour needs to become fully aware that competent human resources are the key to development and need to be groomed, inspired and motivated by managers/leaders rather than controlled.

5. **Concerted effort and targeted planning for technical capacity development and human resource development.** Capacity development in terms of technical qualifications needs to be more embedded in human resource development plans. When sending people for further studies and specialist education, a space where this expertise is needed and can be utilized should be guaranteed before sending people so that they can prepare themselves and seek the knowledge for the job they need to do afterwards. Often the skills gained can not be utilised as the facilities/infrastructure is not adequate or all the relevant positions are filled – leading to frustration and to brain drain. In terms of career, there are few options for excellent technical people to progress in their field, without getting into management – even without talent for it. Why should a brilliant doctor who wants to progress have to become a manager of an institution for which he/she might have little capacity?
6. **Special efforts to identify, harness and utilise existing capabilities, including underutilised potentials and closing the youth and gender gap at all levels.** Often existing potentials are underestimated or undiscovered. Special opportunities need to be provided to identify and mobilise underutilised potentials within the system and beyond. This includes special considerations about the potential of women and young people, who often get marginalised in the system and remain undiscovered. It also includes the value of technical/artisanal skills vis-a-vis academic education. Presently there are few options to develop ones technical and entrepreneurial talent. What counts is the academic qualification and anybody is pushed into academia even if artisanal talents are much higher. The system needs to be flexible to find talent and provide opportunities at given stages of professional development to progress and develop further their potentials. Ultimately, the value of people as resources which need to be developed for the benefit of society as a whole needs to become a driver in management.
7. **A system of sharing capacities at national, regional and continental level and learning from each other.** Due to the diversity, different countries have different specialisms and know how which the others are seeking. A systemic mapping and harnessing of African expertise and capacity would enable the development of sharing arrangements to balance short term capacity gaps between the countries, rather than relying on outsiders. Another dimension is the economy of scale for effective service delivery as certain services might be better deal with at a national or regional level to be able to maintain facilities and expertise. Pooling of resources to reach this economy of scale is a key requirement for sustainable capacity in technical areas.

What are promising strategies and processes to bring about change?

- Policy analysis and reform processes in respect of investment climate and revenue creation.
- Business processes reviews for inefficiencies in resource utilisation in service delivery, involving staff and their suggestions for simplification of processes.
- Involvement of citizens in service provision – shared responsibility approaches.
- Leadership/management development for nurturing human resources.

- Development of strategic human resource development planning systems with career paths for both technical and managerial lines, linked to infrastructure development (e.g. doctors and medical facilities).
- Incentive programmes for high performers.
- Trainee (apprenticeships) and leadership development (future leader) programmes for young professionals as part and parcel of their professional development.
- Capacity mapping and development of sharing arrangements.

2.7 Cornerstone 5: CAPACITY OF CAPACITY DEVELOPERS

Adaptive Capacity development institutions driving a progressive agenda for capacity development and producing entrepreneurial client-oriented cadres

Why is this cornerstone important?

There is an overrated assumption that the institutions that are currently spearheading capacity development in Africa are well capacitated enough themselves to shoulder this responsibility effectively. Experience on the ground shows that very often, these institutions are stretched both in terms of human and financial resources, and that in some cases, their approaches and skills need to be upgraded to match the new challenges in Africa's development imperatives.

In many cases, institutions of higher learning or professional training institutes follow a conventional 'capacity building' approach where basic technical skills are taught in a teaching mode. The skills taught reflect the skills required in the service delivery systems as they were established and evolved over the decades ever since the colonial era in most countries. The aim is to develop technical knowledge and skills – not necessarily entrepreneurial skills to challenge the setup and think in opportunities and strategically beyond the present horizon. The transformation of the 'capacity builders' to develop the profiles of dynamic, entrepreneurial Africans in all spheres of society, including in public sector organisations, is a major challenge. The same applies to national, regional and continental capacity development institutions and support institutions that provide capacity development in the frame of technical assistance.

A senior manager of a reputable University in East Africa recently explained the dilemma in a simple way: 'In the colonial time, the Whites were the managerial class, the Asians were in the trade and the Africans were meant to be office clerks. So, African universities were set up to produce office clerks. And this is what we are still doing, we produce office clerks. Unfortunately there is very little demand for office clerks and that is why we mainly produce unemployed office clerks...'

What are we aiming at?

Overall, we see progressive capacity development institutions which align to the new requirements in a highly dynamic environment and are able to renew themselves to spearhead the repositioning of capacity development in society at national, regional and continental level. Specifically, this cornerstone fosters transformation in two domains: basic training/capacity development, and in the domain of professional capacity development on the job/competence development. The aspects are:

Basic training/capacity development

1. **Alignment of capacity development/qualification programmes to new realities and African transformation needs.** Most of the curricula of institutions of higher learning are being adapted to developments in the technical subject matter. However, looking at the African development vision, curriculum development should question the past outputs (graduates) as obviously it did not lead to the human capacity required to make Africa succeed. Departing from the vision of the profiles of professional required, curricula need to be re-thought and radically reformed instead of adding a few modules here and there and cutting others. Close relationships of capacity development institutions with the professional reality and the requirements for staff profiles in practice should drive this continuous reform towards meeting the long term development vision of the continent. Monitoring and evaluation are also key in making capacity development programmes relevant to new realities.
2. **Alignment and strengthening of the capacity of those tasked with building the capacity of others.** Most institutions of higher learning and capacity development are based on academic education by lecturers who have hardly ever been engaged as entrepreneurs in the real world. Looking at the African development vision and the profiles of people required, most staff of these institutions themselves need a drastic re-orientation and transformation to be able to develop the new cadres. A closer link to the public and private sector and creating an environment which fosters retention would help to bring practitioners and the best brains back into Universities to share their experiences with students. Result-based education and capacity development would transform input-based training into outcome based learning and results. Ultimately practice and theory need to be interwoven towards results.
3. **Organisational reforms and collective action of capacity development institutions to reach a scale which can provide the required specialist knowledge in training and teaching.** The degree of specialisation of capacity development organisations, particularly institutions of higher learning is often low. Several universities in one country provide the full range of disciplines at rather mediocre levels. Centres of specialisation and sharing arrangements between them can enable the required quality of education.

Competence development on the job

4. **Performance-enhancing learning approaches as basic way of operating by capacity development institutions.** Capacity development needs to be seen as a vehicle to increase performance of individuals and teams within their organisational systems to improve their performance in their jobs. Capacity development institutions need to develop their own capacity to facilitate such approaches.
5. **Strong focus on managerial skills/soft skills which are essential in the context of the new African agenda.** Besides the technical competence, the social competence to manage people, inspirational leadership, change management and organisational development are central to performance enhancement. Capacity development institutions need to embrace these elements.
6. **Networks of experts and practitioners to facilitate exposure, experience sharing, lesson learning and peer support.** Nurturing networks and creating champions for change need to be part and parcel of successful competence development approaches.
7. **Technical assistance which develops and strengthens existing capacity rather than substituting it.** New forms of technical assistance need to be developed, which do not

undermine the efforts and agendas of the national organisations and which utilise African resources effectively.

What are promising strategies and processes to bring about change?

- Creating accountability of capacity builders to beneficiaries through short feedback loops and client assessments.
- Closing the circle: bringing practitioners into capacity development institutions to enrich the curriculum with practice.
- Vision-based and profile-based curriculum development for outcomes and results, which are validated through frequent assessments and reviews of performance and profiles required together with the users of the graduates etc.
- Competition between capacity development institutions nationally, regionally and continentally through regular comparative assessment of their performance and results in bringing about change towards the African vision.
- Learning networks among capacity development institutions.
- Creation of centres of specialisation to pool resources and ensure quality of service and cutting edge standards.
- Performance frameworks for capacity development institutions.
- De-academisation of education institutions: emphasising competence rather than qualifications.

2.8 Cornerstone 6: INTEGRATED PLANNING AND IMPLEMENTATION APPROACHES AND CONTINUOUS IMPROVEMENT PROCESSES

Integrated and coordinated approaches for planning and implementation of development processes within and across levels

Why is this cornerstone important?

One of the most important challenges facing the development sphere in Africa is that of a multiplicity of institutions whose functions and responsibility overlap. Very often these institutions, at national, regional, and continental level have no unity of purpose in their functions, and there are few accountability mechanisms in place to ensure that the institutions fulfil the missions they were initially established to fulfil. Generally, the conventional coordination efforts have not been very successful either as often the components to coordinate do not fit together well. Therefore we see a high necessity to move towards integration of efforts around certain impacts as central. Efforts therefore need to be exerted to ensure that harmonisation and coordination mechanisms which can lead to a more integrated way of addressing the challenges are established and implemented to ensure synergy among key development institutions in the countries and on the continent.

What are we aiming at?

In an ideal case, a coherent, impact-driven agenda of committed development institutions (including the state) from local to global would manage to integrate and coordinate the different contributions in a synergistic way. Specific aspects this cornerstone tries to enhance are:

1. **Integration and coordination through a systemic approach addressing ‘system failure’ and systemic blockages in making a real difference**, rather than focusing on dissected components and problems. Such an approach needs to be adopted as the basic way of looking at integration and coordination by all major players in development. The focus here is on the performance/non-performance of the whole system vis-à-vis an agreed common purpose, analysing ‘system failure’ in depth and deduce the solutions from there. Then roles and responsibilities between institutions and levels can be clarified in light of these solutions/impacts, and partnerships can be built to make the system work as a system through concerted efforts. The focus needs to be on the integrated management of programmes rather than coordination per se.
2. **Coordinated and integrated planning of ministries across sectoral boundaries**. The way, ministerial boundaries are cut is not always conducive to tackle problems and opportunities on the ground. An example is agriculture and water development which normally are in different ministries but which are so integrally linked that they depend on each other. Coordination alone is of limited effectiveness and it requires pro-active working together to reach a common goal to overcome the divide.
3. **A system of accountability for results/impacts driving integration**. Development institutions (including the state) often are more upwards accountable for inputs/activities than downwards accountable for results and impacts. For coordination and integration to happen, a very strong pull towards integration can only come from the results/impact desired as they will determine the level of coordination/integration required. Ultimately it is the desired impact which drives the need to coordinate and integrate. The accountability towards results needs to come from different angles of the system: from the end-users who hold the support and service delivery agents accountable, the investors who hold the agents accountable for results/impact and the development institutions. The mechanisms/modalities need to be worked out case by case.
4. **Continuous monitoring and assessment of performance and impact of development institutions vis-à-vis the ‘system failure’ and the stated achievements**. This includes cost effectiveness and the efforts to integrate with others etc. The monitoring and evaluation function requires an internal self-assessment dimension for learning, and an external monitoring dimension for hard assessments.
5. **Intensive feedback and communication between the vertical and horizontal levels**. Managing the feedback loops between the levels is central in bringing out the ‘missing links’ in making the system work as a system better. Fast feedback loops enable a rapid interaction between the levels and as a result a continuous improvement process. Communication within and across levels is the backbone of effectiveness and efficiency.
6. **Resource allocation systems and performance system which foster integration and interdependency**. True integration between different entities requires smart performance criteria which foster integration. For example, the success has to be defined in a way that not one actor alone can achieve it, but to succeed all individual organisations require the contribution of others in an interdependent way.

7. **Commitment by actors who set up development organisations, to follow through and ensure that they are working successfully.** Part of the reason for having so many different institutions dealing with similar issues is the fact that organisations are formed from a structural point of view and the existence of these organisations is seen as the solution. If they do not function, new ones are created instead of dealing with the issues of non-performance – leading to inflation in the number of organisations without solving the deeper problems. Criteria for closing organisations need to be defined by the time of setting them up, Mechanisms need to be in place to deal with conflicts, non-performance and non-accountability. Organisational development needs to be dealt with from a functional point of view rather than from a structural. This applies to national, regional and continental institutions.

What are promising strategies and processes to bring about change?

Accountability: use assessment of results, resource allocation/payment by result.

- Engagement processes (e.g. country and regional levels) to analyse systemic issues in depth, review performance and design the integration of the parts/contributions.
- Performance assessments of development organisations by different levels, including end users, and budget allocations according to performance. Integration/Coordination platforms where results of the M&E are presented and where the peers (including ministries) hold each other accountable for delivery of the agreed and required part.
- Development of flexible planning and budgeting systems based on results rather than inputs alone, across ministries, e.g. within frameworks of ‘regional’ and ‘integrated’ development rather than purely sectoral.

The six cornerstones are integrally linked and interdependent. Thus some overlap is desired to make the interfaces visible. As mentioned above, the cornerstones and their components outlined here are a checklist to analyse capacity issues in a given situation and setting and to formulate adequate responses. The range of strategies and ways to implement alternatives described here in brief are meant to be indications to think about rather than pre-defined sets of actions. In the further development of the CDSF more of the practical ways to deal with the challenges will be gathered and promoted. There are lots of isolated experiences from small scale interventions available which can be used to enrich the framework while working with it in practice. The CDI will engage in collecting these experiences and manage that knowledge to support capacity development initiatives.

2.9 What this framework means for capacity development in practice

The six cornerstones have outlined the main aspects of the ideal situation which the CDSF desires to see. It also brought up some key strategies on how to put these ideas into practice.

In this chapter, some key principles and characteristics of the alternative approach to capacity development as promoted in the CDSF are described in contrast to the conventional way of capacity development. This contrasting view intends to bring out more clearly the differences, but does not suggest that everything in the conventional way would be inadequate. It needs the right combination of processes and methods to reach the best results.

The table below, highlights capacity dimensions at individual, organisational and system level and brings out some key characteristics across all levels.

Table 2: Capacity Characteristics of Two CD Approaches

Levels	Conventional Way of Capacity Building	Alternative Way of Approaching Capacity Development
Individual Level	Focus on technical skills	Focus on performance and competence, Focus on leadership, responsibility and accountability to results/success of the whole organization
	Training needs assessment as a base for capacity building – often more symptoms based than problem based	Analysis of performance hindrances within the job arrangement (deliverables, work processes and rules and regulations, personal competence required to do the job, reward systems etc, → performance management based)
	Training as a response to capacity building	Performance driven competence development, including attitudes and motivation , Peer and team-based coaching and mentoring on the job through a joint learning process in the teams Training as an input into on-going learning processes Performance management driven by transformed leadership
	Monetary incentives seen as key driver for performance	Focus on other motivators like: personal growth opportunities, conducive management support,
	Entrenching loyalty through job security	Job security through performance Accountability to the desired success of the organization

	Reward of seniority and compliance rather than performance and creativity (who do you think you are... syndrome)	Reward for performance, leadership, creativity and innovation, dedication and commitment,
Institutional Level	Input-oriented approach to: Putting more people Putting more resources	Output and result driven process to reform and transformation Re-organisation and simplification of processes Improving the performance of existing staff and leadership
	Focus on mandates Focus on coordination	Functional approach to mandates, roles and responsibilities of institutions Primacy of integration of functions over coordination
	Focus on strengthening of systems (e.g. finance & HR)	Deep analysis of functions and rationalisation of systems before strengthening Focus on optimising system performance rather than expansion Alternative options for delivery of services
	Focus on structure (main notion of ‘institutional reform’)	Focus on behaviour, competence and performance of staff and leadership Organic development of structure through self-driven analysis and processes rather than re-structuring per se
	Establishment of new institutions if problems are not dealt within the existing ones	Dealing with the issues of non-performance of existing institutions, including leadership
	Often crisis driven and ad-hoc capacity building interventions	Long-term efforts based on critical analysis of capacity requirements with solid M&E base
System level	Focus on policy development and reform	Focus on policy implementation and impact, and the resulting performance or non-performance of the system Policy development as a result of learning from policy implementation
	Analysis of inputs and outputs in a linear way	Systemic analysis of the deeper problems in terms of institutions, their processes, structures, regulations, resources, peoples competence and

	Real issues dealt under ‘assumptions’	motivation, their behaviour and the context in which the institutions operate (policies, environment, institutional arrangements & functions etc)
	Simple solutions to complex problems based on superficial analysis	Systemic analysis of triggers for change which can unleash a high change potential and trigger a range of other changes, based on analytical in-depth knowledge of the system
	System policies and regulations seen as a control measure to improve performance	Focus on enabling and motivation factors for organizing the system to perform better, rather than control, that includes leadership transformation
	M&E mainly at the end of processes and delegated to other authorities – long delays in the system	Monitoring and evaluation are totally integrated in the design and at all stages of the process of change and driven by the people who manage the change. Fast learning loops help to steer the change process
Across the levels	Communication mainly from top to down, resulting in information gaps and often resistance to change	Communication is a backbone to performance and is everyone's responsibility at all times – a new communication culture where nobody can justify ignorance with ‘I was not informed’
	External analysis and solutions prescribed to people living outside the system	Critical self-analysis and acceptance of failures and systemic weaknesses which drives the search for own solutions increasing performance and self-transformation Responsibility and ownership for the weaknesses and solutions Utilisation of competent and transformed African expertise and home grown solutions
	Largely individually and issue-specific capacity building interventions.	Learning and adaptation by the whole system, not only few individuals in certain department
	Capacity building is carried out by institutions which themselves have not transformed	Critical analysis of capacity development institutions for their own capacity to develop the new cadre of staff and leaders required for transformation

3 How to Utilise This Framework (CDSF) to Bring About Change?

In essence, the CDSF represents a holistic and comprehensive approach to addressing capacity challenges in Africa. For CDSF to succeed it needs to be internalised and integrated in the structures and processes at the continental, regional and country levels and due to its transformative nature it needs to be championed at all levels by a range of stakeholders, not only governments.

The main vehicle to operationalise the CDI is the NEPAD Capacity Development Strategic Framework (CDSF). The initiative was developed on the base of the call by African leaders for the urgent promotion and implementation of Africa's priority programmes and projects through the member states and Regional Economic Communities (RECs). Thus, a prerequisite for ensuring fundamental acceptance of the CDI as a legitimate African initiative is buy-in, commitment and championship at all levels by a wide range of stakeholders which it has partly reached through the consultation processes leading to the CDSF.

CDI's acceptance is critical to facilitate the adoption and integration of the CDSF principles into regional and national sector development plans and in forging true partnerships through experience sharing and skills transfer among key players at all levels.

The three basic forms of engagement, a) communication, b) consultation and c) collaboration will guide engagement towards the adoption and implementation of the CDSF by countries. Additionally, the principles of engagement will be based on awareness, commitment and inclusiveness for ownership, while advocating for a strong national actor representation embracing the CSO's, private sector, government, funding partners and foundations. The strategy places key importance on communication that hinges on these basic principles of engagement. A country engagement strategy to this effect is being developed as part of the CDI.

In practice, any winning strategy to bring about the desired change with NEPAD as a driving force will need to tackle this at 3 critical and interconnected levels, namely; NEPAD institutional and sector level, REC and country levels. While these will be crucial, it is important that many components of the CDSF should be driven by the non-governmental actors like CSOs and private sector directly as it concerns them as much as it does governments. The different levels will be explained further:

3.1 Role of Continental level (NEPAD institutional and sector level)

A deliberate effort will need to be made to filter the important tenets of the CDI and its CDSF into NEPAD's re-configured mandate as a co-ordination and planning authority and more specifically into sector plans and NEPAD priorities as agreed with the AU Commission.

3.2 Role of REC level

NEPAD's role as a change agent in specifically promoting the integration of this transformative capacity development strategic framework into African countries' development agendas will work effectively through facilitation by RECs. The successes of the CDI at this level will much depend on awareness raising and obtaining commitment at the REC level in addition to country level intervention. Obtaining commitment by RECs will serve to intentionally consolidate the NEPAD's Capacity development initiative as an existing African Initiative that the RECs and

countries will relate to. The legitimization of the CDI will provide dividends in terms of adoption of the CDSF at all key levels. To this effect the CDI will need to formally and strategically link with existing capacity development programmes such as Joint ADB/World Bank Capacity Development Programme for RECs and with their strategic partners. To this effect, the CDI will also need to engage with the programmes and agendas of existing capacity development organizations on the continent.

3.3 Role of the APRM Secretariat

There is consensus that the operationalization of the CDSF at country level should be based on a holistic and integrated approach. It should build and/or add value to existing initiatives, particularly the APRM. As a self-monitoring mechanism voluntarily acceded to by African countries with the primary objective of fostering the adoption of policies, standards and practices that lead to political stability, high economic growth and sustainable development, the APRM provides a favourable entry point for the CDSF – among others. To this extent, the CDSF adds value to the APRM by assisting countries to properly analyse capacity related challenges linked to the implementation of recommended actions contained in the Programme of Action (PoA). The CDSF is therefore a vehicle towards the effective implementation of the APRM PoA.

Specifically, the role of the APRM Secretariat and Panel of Eminent Persons would be to:

- To integrate and apply the CDSF as an instrument to assess the capacity or lack thereof at national level;
- Consider the application of the CDSF as an assessment instrument during Stage 1 and 2 of the APRM process by fostering dialogue with key actors and stakeholders, including the domestication of assessment methodologies

Stage One: Involves a study of the political, economic and corporate governance and development environment in the country to be reviewed, based principally on up-to-date background documentation prepared by the APR Secretariat and material provided by national, sub-regional, regional and international institutions. This is also known as the country self-assessment stage.

Stage Two: This stage is informed by the analysis prepared in Stage One. It involves processes outlined in the MOU. The APRM Team will interact and consult extensively with government officials, parliamentarians, representatives of political parties, the business community, representatives of civil society (including media, academia, trade unions, non-governmental organisations (NGOs), community-based organisations (CBOs)), rural communities and representatives of international organizations).

3.4 The role of country structures in country engagement

Partnerships for gaining shared perspectives and commitment at the country level are the foundation of this initiative. It is NEPAD's key role to initiate and negotiate compacts with stakeholders for implementation of NEPAD projects and programmes by national governments and RECs from the continental level. Hence, ensuring ownership and buy-in by all key actors and stakeholders is critical for the successful implementation of the CDSF at country level. To this extent, the implementation of the CDSF should be the responsibility of every individual, institution and citizen. This places considerable importance on the role of key societal

stakeholder groupings such as civil society including faith based organizations; business and the private sector; universities, partners and foundations in implementing the CDSF. For this reason, while it is critical for all national stakeholders to participate in this process, it is important that for purposes of ensuring sustained implementation, the CDSF should be driven and championed at the highest level of the political and societal leadership.

The implementation of the CDSF should not necessarily lead to the establishment of new institutions. Rather, it should seek to enhance the capabilities of existing ones through more effective and efficient utilisation of resources through changing the mindset of all citizens. The overall objective is to bring about organizational change for more cost effective and efficient service delivery. However, a functional structure to consider for the implementation of the CDSF will be the formation of ‘National Forums’, which will include government, non governmental organizations, civil society and private sector, which will meet on a regular basis to share information and experiences on CDSF/NEPAD implementation at country level and champion its improvement.

In terms of implementation, the domestication of the CDSF will be characterised by the following distinguishing approaches:

3.4.1 Countries that have acceded to the APRM

The initiative for capacity development needs to be seen as integral part of the self-assessment of challenges and related needs to address capacity gaps in a country. Any approach to address these needs should be led and undertaken by the country in line with the APRM processes.

3.4.2 Countries that have not yet acceded to the APRM

For those countries that have not yet acceded to the APRM, the entry points would be existing capacity development initiatives linked to their national development plans.

Generally, the same roles and responsibilities would apply to APRM countries or non-APRM countries. These would include:

- Promoting dialogue and consensus building for the adoption of the CDSF (on the political and on the administrative level as well as by all stakeholders involved);
- Identifying and engaging relevant actors/stakeholders;
- Analysing and assessing existing capacity development initiatives through the application of the CDSF methodology;
- Developing feasible medium to long term implementation plans (objectives, milestones, indicators, budget, monitoring and evaluation system);
- Securing funding (firm commitments of government, donors, private sector etc.);
- Establishing the institutional set-up for monitoring and evaluation;
- Interacting with the NEPAD Secretariat (feed back on experiences, recommendations, best practices etc.);
- Disseminating results, experiences and impact;

- Secondment of experts to countries which are interested in the CDSF;
- Active participation in a CDSF network and the knowledge management system of the NEPAD Secretariat;

3.5 Engagement with partners and foundations

Engagement with partners and foundations will serve two critical purposes: a) that of mobilizing resources; and b) influencing their own capacity development frameworks and agendas. The two are intertwined as success in the second aim will also assist in re-directing funds towards projects and programmes that are framed around the key principles of the CDSF and hence a possible increase in resources.

Furthermore, in mobilizing resources from FDI and private sector at both domestic and international levels, the continental level (NEPAD Secretariat) has a critical role in promoting partnerships with financing institutions to ensure the delivery of appropriate, robust and best practices. This includes relevant technical competence to promote and deliver projects on behalf of the regions and the continental institutions. Such conscious engagements will ensure the integration of African orientation in agendas and wider processes.

Support to countries: While in the long-term it is expected that countries will be able to integrate all the costs related to the implementation of the PoA into their national budget, for the foreseeable future, it will be important that partner support be given to countries that have demonstrated commitment to the implementation of their PoA, including the CDSF. Support to countries, in collaboration with the NEPAD Secretariat, will include: financial and technical support to countries for the implementation of their capacity development programmes; dialogue and consensus building; interaction with NEPAD Secretariat; dissemination of results, experiences and impact; and active participation in CDSF network and knowledge management system.

Support to NEPAD: Partner support to NEPAD is required at two levels: (1) support to NEPAD Secretariat to enable it to carry its functions as described above and (2) institutional support, including technical, to enable the NEPAD Secretariat to provide dedicated assistance to countries towards knowledge management; communication and outreach; mutual learning and experience sharing; and monitoring and evaluation.

The above support must be guided by the Paris Declaration on Aid Effectiveness, as well as the NEPAD Agenda. Thus effective coordination and harmonization with the NEPAD Secretariat is required.

4 How this Initiative is linked to NEPAD: Why NEPAD

NEPAD has a strategic advantage as a unique vehicle for continental renewal and this embraces the fundamental principle of the CDI which is transformation. Hence, the CDI is best placed to play that key role in facilitating the process of harmonization of NEPAD priorities with national/sub-regional development plans and processes, through the national governments and RECs. NEPAD can accomplish this through the provision of technical and strategic frameworks.

At a specific and sectoral level, the CDI is deliberately placed to interface effectively with priority sectors and programmes as defined by NEPAD. This offers an important entry point at the planning and coordination level, thus offering vital leverage in terms of setting an integrated framework to capacity development at that high level. Important here, is the alignment of sector capacity development frameworks with the CDSF thus providing an essential opportunity in harmonizing sector work at the REC and country level with the identified strategic focus at the continental level.

NEPAD also offers a number of advantages as a pan-African initiative regarded as such among key partners and stakeholders on the continent. Looking at the evolution of NEPAD, the proposed and re-configured NEPAD's key responsibilities supports its key role in driving such a process. In this regard, the forwarding-looking responsibilities of NEPAD include facilitating the implementation of Africa's sectoral priorities; mobilization of partners, stakeholders and resources in support of Africa's prioritized programmes; acting as an agent of change regarding the transformative agenda of AU/NEPAD as a knowledge and learning organization in planning and executing cross-country projects. The CDSF, if adopted, will go a long way in assisting NEPAD in the effective management and coordination of Africa's development process.

In summary, as the key promoter of the CDSF, the NEPAD Secretariat's core function in CDI would be to:

- Provide strategic direction which is derived from a broad consultative process involving experts, key actors, relevant stakeholders and partners, including the political level (HSGIC etc.)
- Ensure alignment of the CDSF with the specific requirements of the APRM process, including through deepened engagement with the APRM structures;
- Promote the CDSF at national, regional and continental level through roundtables, seminars, workshops and the media;
- Facilitate dialogue and consensus building among key actors/stakeholders;
- Enhance coordination and harmonisation across the continent;
- Create a platform for experience sharing, lessons learnt and skills transfer involving member states and Regional Economic Communities;
- Establish of a pool of expertise, individual and institutional, to be put at the disposal of countries;
- Facilitate the development and dissemination of appropriate methodologies/instruments/guidelines for use by member states;
- Disseminate knowledge/information through reports, research, publications and website
- Monitoring and evaluation for learning and further input into the CDSF processes; and

- Deepen engagement with development partners including foundations in both resource mobilization and towards facilitating the alignment of their development agendas and strategy to capacity development in Africa with the key principles of the CDSF.

NEPAD Secretariat can foster CDSF, but in the spirit of transformation and renewal, it is not NEPAD who is doing things for people, but it is African citizens who need to ask themselves what they can contribute to make the vision of transformation a reality. This is the core spirit of CDSF and CDI.

5 Preconditions for Implementation

Successful implementation will require taking key stakeholders on board for ownership and sustainability. The following are some specific preconditions for implementation:

1. Act on the notion of country readiness and help facilitate the shift towards adopting the CDSF in other countries through the experience sharing method;
2. Link with existing capacity development initiatives at country and regional levels;
3. Learn from the pilot-positioning of the CDSF mainly around the following:
 - Role of government, particularly Ministries of Education taking into account the role they can play as change-agents;
 - Relationship between politicians and technocrats;
 - Role of targeted civic education programmes around the key principles of the CDSF with particular reference to the citizen;
 - A particular focus on Parliamentarians toward bringing them into this process;
 - To take a well thought out strategy in relation to the role of CSO's;
 - Capacity development in post-conflict contexts in Africa to form part of the key issues;
4. To use the CSDF to analyse capacity issues in sectors including internal NEPAD units;
5. To use existing NEPAD structures continentally to promote ownership of the CDSF and tap onto available regional consultation mechanisms;
6. To develop financing strategy and a resource framework to support the roll-out the CSDF;
7. To develop a strategy for engagement with partners that ensures all key issues are considered and to cover 3 key inter-related aspects:
 - Technical support
 - Multi-stakeholder engagement
 - Resource support